

# DECLARATION FOR PATENT APPLICATION

Docket Number (Optional)

As a below named inventor, I hereby declare that:

My residence, post office address, and citizenship are as stated below next to my name.

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled OPEN AND MUTUAL FUND SECURITIZATION PROCESS, the specification of which

is attached hereto unless the following box is checked:

☐ was filed on \_\_\_\_\_ as United States Application Number or PCT International Application Number \_\_\_\_\_ and was amended on \_\_\_\_\_ (if applicable).

I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment referred to above.

I acknowledge the duty to disclose information which is material to patentability as defined in Title 37, Code of Federal Regulations, § 1.56.

I hereby claim foreign priority benefits under Title 35, United States Code, § 119 of any foreign application(s) for patent or inventor's certificate listed below and have also identified below any foreign application for patent or inventor's certificate having a filing date before that of the application on which priority is claimed.

Prior Foreign Application(s)

Priority Claimed

(Number)	(Country)	(Day/Month/Year Filed)	<input type="checkbox"/> Yes <input type="checkbox"/> No
			<input type="checkbox"/> Yes <input type="checkbox"/> No
			<input type="checkbox"/> Yes <input type="checkbox"/> No

I hereby claim the benefit under Title 35, United States Code, § 120 of any United States application(s) listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States application in the manner provided by the first paragraph of Title 35, United States Code, § 112, I acknowledge the duty to disclose information which is material to patentability as defined in Title 37, Code of Federal Regulations, § 1.56 which became available between the filing date of the prior application and the national or PCT international filing date of this application.

(Application Number)	(Filing Date)	(Status - patented, pending, abandoned)

I hereby appoint the following attorney(s) and/or agent(s) to prosecute this application and to transact all business in the Patent and Trademark Office connected therewith:

Kenneth K. Koon  
Address all telephone calls to Kenneth K. Koon at telephone number 212-247-6700  
Address all correspondence to 309 West 57th St Apt 1707  
NY NY 10019

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and those made so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

Full name of sole or first inventor (given name, family name) Kenneth K. Koon  
Inventor's signature [Signature] Date 10/17/95  
Residence 309 West 57th St #1707 NY NY 10019 Citizenship USA  
Post Office Address NY

Full name of second joint inventor, if any (given name, family name) Kevin S. Bander  
Second Inventor's signature [Signature] Date 10/11/95  
Residence 1 E. Delaware #9K, Chicago IL 60611 Citizenship USA  
Post Office Address  

☐ Additional inventors are being named on separately numbered sheets attached hereto.

DECLARATION

As a below named inventor, I hereby declare that:

My residence, post office address, and citizenship are as stated below next to my name.

I believe that I am the original, first, and sole inventor (if only one name is listed below) or an original, first, and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled OPEN end M.S.  
Fund Security Process

The specification of which  
(check one)

☒ is attached hereto.

☐ was filed on \_\_\_\_\_ as application serial no. \_\_\_\_\_

I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment referred to above.

I acknowledge the duty to disclose information which is material to the examination of this application in accordance with Title 37, Code of Federal Regulations, Sec. 1.56(a).

I hereby claim foreign priority benefits under Title 35, United States Code, Sec. 119 of any foreign application(s) for patent or inventor's certificate listed below and have also identified below any foreign application for patent or inventor's certificate having a filing date before that of the application on which priority is claimed:

00579901-052500

00579001-052600

Prior Foreign Application(s)(if any)

Priority Claimed

\_\_\_\_\_  
(Serial Number)

\_\_\_\_\_  
(Country)

\_\_\_\_\_  
(Day, Month  
Year filed)

[ ] [ ]

(Yes) (No)

I hereby claim the benefit under Title 35, United States Code, Sec. 120 of any United States application(s) listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States application in the manner provided by the first paragraph of Title 35, United States Code, Sec. 112, I acknowledge the duty to disclose material information as defined in Title 37, Code of Federal Regulations, Sec. 1.56(a) which occurred between the filing date of the prior application and the national or PCT international filing date of this application:

\_\_\_\_\_  
(Application serial  
number)

\_\_\_\_\_  
(Filing date)

\_\_\_\_\_  
(Status-, patented,  
pending, abandoned)

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

Full name of sole or first inventor

Kenneth KIRON

Kent C.

10/10/95

**Residence**  
309 West 57<sup>th</sup> St #1707 NY NY 10019

USF

\_\_\_\_\_

# SECRET

0957 9801 - 052600

## VERIFIED STATEMENT CLAIMING SMALL ENTITY STATUS

Docket Number (Optional)

(37 CFR 1.9(d) &amp; 1.7(c))--SMALL BUSINESS CONCERN

Applicant or Patentee: MOPEX, INC.

Serial or Patent No.: \_\_\_\_\_

Filed or Issued: \_\_\_\_\_

Title: OPEN END MUTUAL FUND SECURITIZATION PROCESS

I hereby declare that I am

- ☒ the owner of the small business concern identified below:  
☒ an official of the small business concern empowered to act on behalf of the concern identified below:

NAME OF SMALL BUSINESS CONCERN MOPEX, INC.  
 ADDRESS OF SMALL BUSINESS CONCERN 309 West 57th St. #1707  
NY NY 10019

I hereby declare that the above identified small business concern qualifies as a small business concern as defined in 13 CFR 121.12, and reproduced in 37 CFR 1.9(d). For purposes of paying reduced fees to the United States Patent and Trademark Office, in that the number of employees of the concern, including those of its affiliates, does not exceed 500 persons. For purposes of this statement, (1) the number of employees of the business concern is the average over the previous fiscal year of the concern of the persons employed on a full-time, part-time or temporary basis during each of the pay periods of the fiscal year, and (2) concerns are affiliates of each other when either, directly or indirectly, one concern controls or has the power to control the other, or a third party or parties controls or has the power to control both.

I hereby declare that rights under contract or law have been conveyed to and remain with the small business concern identified above with regard to the invention described in:

- ☐ the specification filed herewith with title as listed above.  
☒ the application identified above.  
☐ the patent identified above.

If the rights held by the above identified small business concern are not exclusive, each individual, concern or organization having rights in the invention must file separate verified statements averring to their status as small entities, and no rights to the invention are held by any person, other than the inventor, who would not qualify as an independent inventor under 37 CFR 1.9(c) if that person made the invention, or by any concern which would not qualify as a small business concern under 37 CFR 1.9(d), or a nonprofit organization under 37 CFR 1.9(e).

Each person, concern or organization having any rights in the invention is listed below:

- ☒ no such person, concern, or organization exists.  
☐ each such person, concern or organization is listed below.

Separate verified statements are required from each named person, concern or organization having rights to the invention averring to their status as small entities. (37 CFR 1.27)

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b))

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

NAME OF PERSON SIGNING K. K. KIRONTITLE OF PERSON IF OTHER THAN OWNER PARTNER / PrincipalADDRESS OF PERSON SIGNING 309 West 57th St. #1707 NY NY 10019SIGNATURE K. K. K. DATE 10/10/95

09579201-052500



**VERIFIED STATEMENT CLAIMING SMALL ENTITY STATUS**  
(37 CFR 1.9(n) & 7(b))--INDEPENDENT INVENTOR

Docket Number (Optional)

Applicant or Patentee: Kenneth K. Ror

Serial or Patent No.: \_\_\_\_\_

Filed or Issued: \_\_\_\_\_

Title: Open end Mutual End Securitization Process

As a below named inventor, I hereby declare that I qualify as an independent inventor as defined in 37 CFR 1.9(c) for purposes of paying reduced fees to the Patent and Trademark Office described in:

- ☐ the specification filed herewith with title as listed above.  
☒ the application identified above.  
☐ the patent identified above.

I have not assigned, granted, conveyed or licensed and am under no obligation under contract or law to assign, grant, convey or license, any rights in the invention to any person who would not qualify as an independent inventor under 37 CFR 1.9(c) if that person had made the invention, or to any concern which would not qualify as a small business concern under 37 CFR 1.9(d) or a nonprofit organization under 37 CFR 1.9(e).

Each person, concern or organization to which I have assigned, granted, conveyed, or licensed or am under an obligation under contract or law to assign, grant, convey, or license any rights in the invention is listed below:

- ☐ No such person, concern, or organization exists.  
☒ Each such person, concern or organization is listed below.

Mapox, INC.

Separate verified statements are required from each named person, concern or organization having rights to the invention averring to their status as small entities. (37 CFR 1.27)

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b))

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

Kenneth K. Ror  
NAME OF INVENTOR  
K.K. Ror  
Signature of inventor  
10/12/95  
Date

Kevin Bander  
NAME OF INVENTOR  
Kevin Bander  
Signature of inventor  
10/11/95  
Date

\_\_\_\_\_  
NAME OF INVENTOR  
\_\_\_\_\_  
Signature of inventor  
\_\_\_\_\_  
Date



VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY STATUS (37  
CFR 1.27(a)) AND 1.27(b)-Independent Inventor

As a below named inventor, I hereby declare that I qualify as an independent inventor  
as defined in 37 CFR 1.9 (c) for purposes of paying reduced fees under Section 41(a) and (b)  
of Title 35, United States Code, to the Patent and Trademark Office with regard to the  
invention entitled Open end Mutual Fund described in  
Securitization Process  
☒ the specification filed herewith

☐ application serial no. \_\_\_\_\_, filed \_\_\_\_\_

I have not assigned, granted, conveyed or licensed and am under no obligation under  
contract or law to assign, grant convey or license, any rights in the invention to any person  
who could not be classified as an independent inventor under 37 CFR 1.9(c) if that person  
had made the invention, or to any concern which would not qualify as a small business  
concern under 37 CFR 1.9(d) or a nonprofit organization under 37 CFR 1.27(e).

Each person, concern, or organization to which I have assigned, granted, conveyed, or  
licensed or am under an obligation under contract or law to assign, grant, convey, or license  
any right in the invention is listed below:

☐ no such person, concern, or organization

☒ persons, concerns, or organizations listed below\*

\*Note: Separate verified statements are required from each named person, concern, or  
organization having rights to the invention averring to their status as small entities. (37 CFR  
1.27)

FULL NAME MOPEX, INC.

ADDRESS 309 West 57th St #1707 ☐ Individual ☒ Small business  
NY, NY 10019 ☐ Nonprofit organization

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fees due after the date on which status as a small entity is no longer appropriate. (37 CFR 128(b)).

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon, or any patent to which this verified statement is directed.

Full name of sole or first inventor

Kenneth KIRON

Inventor's signature

KJK

Date

10/10/95

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